

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S CHECK NUMBER PAT-01023
TRANSMITTAL LETTER TO THE UNITED STATES		U.S. APPLICATION NO. (IF KNOWN SEE 37 CFR 15) <b>10/512035</b>
DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		
INTERNATIONAL APPLICATION NO. <b>PCT/EP03/04923</b>	INTERNATIONAL FILING DATE <b>(12.05.2003) 12. May 2003</b>	PRIORITY DATE CLAIMED <b>(16.05.2002) 16. May 2002</b>
TITLE OF INVENTION: <b>AQUEOUS PIGMENT PASTES CONTAINING MICA PIGMENTS AND THE USE THEREOF FOR PRODUCING AQUEOUS, DECORATIVE-EFFECT COATINGS</b>		
APPLICATION(S) FOR DO/EO/US: <b>Götz-Ekkehard SAPPER and Anne HUPP</b>		

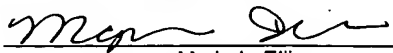
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
- ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) The submission must include items (5), (6), (9) and (21) indicated below.
- ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
- ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - ☐ are transmitted herewith (required only if not transmittal by the International Bureau).
  - ☒ have been transmitted by the International Bureau.
  - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  - ☒ Is attached hereto.
  - ☐ Has been previously submitted under 35 U.S.C. 154(d)(4).
- ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - ☐ are attached hereto (required only if not communicated by the International Bureau).
  - ☐ have been communicated by the International Bureau.
  - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - ☒ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☒ An English language translation of the annex to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).


Items 11. to 20. below concern document(s) or information included:

- ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- ☒ A FIRST preliminary amendment.
- ☐ A SECOND or SUBSEQUENT preliminary amendment.
- ☐ A substitute specification.
- ☐ A change of power of attorney and/or address letter.
- ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.
- ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
- ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
- ☒ Other items or information: **A copies of the cover sheet from the PCT Published Application, and the cover sheet from the Priority Document**

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **ER193000649US** addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on October 20, 2004.

  
Marjorie Ellis


BEST AVAILABLE COPY

U.S. APPLICATION NO. (If known, see 37 CFR 1.50) <b>107512035</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP03/04923</b>		ATTORNEY'S DOCKET NUMBER <b>PAT-01023</b>	
21 <input checked="" type="checkbox"/> The following fees are submitted: <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$1,110.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... <b>\$ 950.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO..... <b>\$ 790.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... <b>\$ 750.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$ 100.00</b> <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS</b> PTO USE ONLY <div style="border: 1px solid black; height: 150px; width: 100%;"></div>	
Surcharge of \$130.00 for furnishing the oath or declaration later <input type="checkbox"/> 20 <input type="checkbox"/> 30 than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
<b>Claims</b>	<b>Number Filed</b>	<b>Number Extra</b>	<b>Rate</b>	\$	
Total Claims	17 - 20 =	0	X \$ 18.00		
Independent claims	01 - 03 =	0	X \$ 88.00		
Multiple dependent claims(s) (if applicable)			+ \$300.00		
<b>TOTAL OF ABOVE CALCULATION =</b>				<b>\$950.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are				\$	
<b>SUBTOTAL =</b>				<b>\$950.00</b>	
Processing fee of \$130.00 for furnishing the English translation later <input type="checkbox"/> 20 <input type="checkbox"/> 30 the months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				<b>\$950.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$950.00</b>	
				<b>Amount to be refunded:</b>	\$
				<b>Charged</b>	<b>\$950.00</b>
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <b>02-1201</b> in the amount of <b>\$950.00</b> to cover the above fees A triplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <b>02-1201</b> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card Information should not be included on this form. Provide credit card information and authorization on PTO-2038. <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. <b>SEND ALL CORRESPONDENCE TO:</b> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>BASF CORPORATION</b>            Patent Department            26701 Telegraph Road            Southfield, Michigan 48034-2442            (248) 948-2355            Customer No. 26922         </div> <div style="width: 45%; text-align: center;">             SIGNATURE            Michael F. Morgan            Name            42,906            REGISTRATION NUMBER         </div> <div style="width: 10%; text-align: center;">           10-20-04         </div> </div>					

**PATENT**

10/512035  
DT01 Rec'd PCT/PTC 20 OCT 2004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	<p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <p>October 20, 2004 Date</p> <p> Marjorie Ellis</p>


**BOX PCT**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

<input checked="" type="checkbox"/>	Application Data Sheet
-------------------------------------	------------------------

**PATENT**

10/512035  
DT01 Rec'd PCT/PTC 20 OCT 2004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	<p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b>, addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <p>October 20, 2004 _____ Date</p> <p> _____ Marjorie Ellis</p>


**BOX PCT**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

<input checked="" type="checkbox"/> Combined Declaration and Power of Attorney
--

**PATENT**

**DT01 Rec'd PCT/PTC 20 OCT 2004**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.  October 20, 2004  Date  Marjorie Ellis


BOX PCT  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

☒ International Preliminary Examination Report

PATENT

00/512035  
DT01 Rec'd PCT/PTC 20 OCT 2004


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.  October 20, 2004 Date  Marjorie Ellis

BOX PCT  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

☒ English Application  
Specification on  pages; claims on  pages;  
the abstract on  page(s); drawings on  page(s).

**PATENT**1512035  
DT01 Rec'd PCT/PTC 20 OCT 2004**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

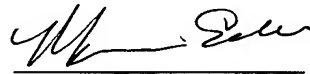
In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.  October 20, 2004 Date  Marjorie Ellis

**BOX PCT**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

☒ German Text Application  
Specification on  pages; claims on  pages;  
the abstract on  page(s); drawings on  page(s).

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	<p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <p>October 20, 2004</p> <p>_____ Date</p> <p> _____ Marjorie Ellis</p>

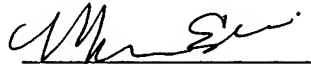
**BOX PCT**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

<input checked="" type="checkbox"/>	Copy of Cover page of the Priority Document
-------------------------------------	---

**PATENT**

**10/512035**  
**DT01 Rec'd PCT/PTC 20 OCT 2004**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.  October 20, 2004 _____ Date   _____ Marjorie Ellis

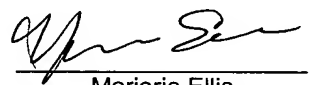
**BOX PCT**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

☒ Copy of cover sheet from the PCT Published Application

**PATENT**

10/512035  
DT01 Rec'd PCT/PTC 20 OCT 2004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  Götz-Ekkehard SAPPER Anne HUPP	Practitioner's Docket No. PAT-01023
Serial No.: This application is a National Phase application of PCT/EP03/04923 filed 12 May 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: Aqueous Pigment Pastes Containing Mica Pigments and the Use Thereof for Producing Aqueous, Decorative-effect Coatings	I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. <b>ER193000649US</b> addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.  October 20, 2004 _____ Date   _____ Marjorie Ellis

**BOX PCT**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, VA 22313-1450**

<input checked="" type="checkbox"/>	Information Disclosure Statement
<input checked="" type="checkbox"/>	From PTO-1449
<input checked="" type="checkbox"/>	Cited References
<input checked="" type="checkbox"/>	International Search Report
<input checked="" type="checkbox"/>	Germany International Search Report